DT07 Rec'd PCT/PTO 0 1 DEC 2004!

PTO-1390 (Rev. 10-2004)
Approved for use through 3/31/2007. OMB 0651-0021
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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| TRANSMITTAL LETTER TO THE UNITED STATE | DAIN: 787 | | | | | | |
|--|--|--|--|--|--|--|--|
| DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. | U.S. APPECATION NET (Variety and SER 1.5) | | | | | | |
| INTERNATIONAL APPLICATION NO. INTERNATIONAL FILING D PCT/JP04/002800 05 March 2004 | OATE PRIORITY DATE CLAIMED 07 March 2003 | | | | | | |
| TITLE OF INVENTION OPTICAL MEMBER AND PROCESS OF | | | | | | | |
| APPLICANT(S) FOR DO/EO/US | | | | | | | |
| Masahiro GOTO Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | | | | | | |
| 1. X This is a FIRST submission of Items concerning a submission under 35 U.S.C. 371. | | | | | | | |
| This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. | | | | | | | |
| 3. X This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. | | | | | | | |
| The US has been elected (Article 31). | | | | | | | |
| 5. X A copy of the International Application as filed (35 U.S.C. 371(c)(2)) | X A copy of the International Application as filed (35 U.S.C. 371(c)(2)) | | | | | | |
| a. is attached hereto (required only if not communicated by the | a. is attached hereto (required only if not communicated by the International Bureau). | | | | | | |
| b. X has been communicated by the International Bureau. | b. X has been communicated by the International Bureau. | | | | | | |
| c. is not required, as the application was filed in the United State | es Receiving Office (RO/US). | | | | | | |
| 6. X An English language translation of the International Application as filed | I (35 U.S.C. 371(c)(2)). | | | | | | |
| a. X is attached hereto. | | | | | | | |
| b. has been previously submitted under 35 U.S.C. 154(d)(4). | b. has been previously submitted under 35 U.S.C. 154(d)(4). | | | | | | |
| 7. Amendments to the claims of the International Application under PCT | Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) | | | | | | |
| a. are attached hereto (required only if not communicated by the International Bureau). | | | | | | | |
| b. have been communicated by the International Bureau. | | | | | | | |
| c. have not been made; however, the time limit for making suc | h amendments has NOT expired. | | | | | | |
| d. have not been made and will not be made. | d. have not been made and will not be made. | | | | | | |
| 8. An English language translation of the amendments to the claims unde | er PCT Article 19 (35 U.S.C. 371(c)(3)). | | | | | | |
| 9. X An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). | An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). | | | | | | |
| 10. An English language translation of the annexes of the International Pre Article 36 (35 U.S.C. 371(c)(5)). | liminary Examination Report under PCT | | | | | | |
| Items 11 to 20 below concern document(s) or information included: | | | | | | | |
| 11. X An Information Disclosure Statement under 37 CFR 1.97 and 1.98. | | | | | | | |
| 12. An assignment document for recording. A separate cover sheet in com | pliance with 37 CFR 3.28 and 3.31 is included. | | | | | | |
| 13. X A preliminary amendment. | | | | | | | |
| 14. An Application Data Sheet under 37 CFR 1.76. | An Application Data Sheet under 37 CFR 1.76. | | | | | | |
| 15. A substitute specification. | | | | | | | |
| 16. A power of attorney and/or change of address letter. | | | | | | | |
| 17. A computer-readable form of the sequence listing in accordance with P | CT Rule 13ter.2 and 37 CFR 1.821- 1.825. | | | | | | |
| 18. A second copy of the published International Application under 35 U.S. | C. 154(d)(4). | | | | | | |
| | 1, and a gradual and an area are a control of the c | | | | | | |
| 20. X Other items or information: PCT Request; WO 2004/08 | Other items or information: PCT Request; WO 2004/081618; PCT/IB/301, 304, 308, 311 | | | | | | |

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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| | 10. (if known, see 37 CER 1.5 | | PCT/JP04/002800 | | DAIN: 787 | |
|---|---|---|-------------------------|--------------------------|------------------|--|
| רינייו | | | CALCULATIONS | PTO USE ONLY | | |
| BASIC NATIONAL FE | g fees are submitted: E (CFR 1.492(a)(1)–(5)): reliminary examination fee (37 h fee (37 CFR 1.445(a)(2)) pa | • | | | | |
| and International Searce International preliminar | ch Report not prepared by the ry examination fee (37 CFR 1. al Search Report prepared by | EPO or JPO482) not paid to | | | | |
| International preliminar | ry examination fee (37 CFR 1. h fee (37 CFR 1.445(a)(2)) pa | 482) not paid to USPTO | | | | |
| | ry examination fee (37 CFR 1. atisfy provisions of PCT Article | | \$750.00 | | | |
| International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) | | | \$ 950.00 | | | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | \$ | | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | \$ | | |
| Total claims | 19 - 20 = | - | X \$18.00 | \$ — | | |
| Independent claims | 4 -3= | 1 | X \$88.00 | \$ 88.00 | | |
| MULTIPLE DEPENDE | NT CLAIM(S) (if applicable) | | + \$300.00 | \$ | | |
| Applicant claims by ½. | small entity status. See 37 CF | R 1.27. The fees indicated al | | \$1,038.00 \$ | | |
| | | · · · · · · · · · · · · · · · · · · · | SUBTOTAL = | \$1,038.00 | | |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | \$ | | | |
| TOTAL NATIONAL FEE = | | | \$1,038.00 | | | |
| _ | nclosed assignment (37 CFR or sheet (37 CFR 3.28, 3.31). | | st be accompanied + | \$ | | |
| TOTAL FEES ENCLOSED = | | | \$1,038.00 | | | |
| | | | | Amount to be refunded: | \$ | |
| | | | | Amount to be charged: | \$ | |
| a. A check in th | e amount of \$ <u>1,038.00</u> |) to cover the abo | ove fees is enclosed. | # 18201 | | |
| | ge my Deposit Account No copy of this sheet is enclosed. | | \$ to co | ver the above fees. | | |
| | sioner is hereby authorized to $16-0331$. A duplicate cor | - - | hich may be required, o | or credit any overpayme | ent to Deposit | |
| | e charged to a credit card. W and on this form. Provide credit c | | | lic. Credit card informa | ation should not | |
| | ropriate time limit under 37 e e the International Applicati | | t, a petition to revive | (37 CNR 1,137(a) or (b |)) must be filed | |
| SEND ALL CORRESP | ONDENCE TO: | | 17 Cales | - 1 De de | 1 Res No. 24.4 | |
| | WENDEL, L.L.P. | $\left\langle \gamma_{\alpha}\right\rangle$ | SIGNATURE ROGER W | Parkhurst | , , | |
| Alexandria, VA 22314-2805 | | | | I GIVIIGISC . | | |
| (703) 739-0220 <u>Z3,177</u> REGISTRATION NUMBER | | | | | | |

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